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PTO/SB/01 (03-01)

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing
OR
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	11321-P014US
First Named Inventor	Richard E. Smalley
COMPLETE IF KNOWN	
Application Number	09 / 935,995
Filing Date	August 23, 2001
Group Art Unit	
Examiner Name	Not yet assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Polymer-Wrapped Single Wall Carbon Nanotubes

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

08/23/2001

as United States Application Number or PCT International

Application Number 09/935,995 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number or Bar Code Label	<input type="checkbox"/> OR <input type="checkbox"/> Correspondence address below	
Name Ross Spencer Garsson Winstead Sechrest & Minick P.C.				
Address P.O. Box 50784 1201 Main Street				
City Dallas		State Texas	ZIP 75250-0784	
Country United States of America		Telephone 512-370-2870	Fax 214-745-5390	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.				
NAME OF SOLE OR FIRST INVENTOR :		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
Richard E.		Smalley		
Inventor's Signature		Date		10/8/01
Residence: City Houston		State Texas	Country US	Citizenship US
Mailing Address 1816 Bolsover Street				
City Houston		State Texas	ZIP 77005	Country US
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
Daniel T.		Colbert		
Inventor's Signature		Date		
Residence: City Houston		State Texas	Country US	Citizenship US
Mailing Address 1911 Milford Street				
City Houston		State Texas	ZIP 77098	Country US
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.				

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Address P.O. Box 50784 1201 Main Street					
City Dallas		State Texas		ZIP 75250-0784	
Country United States of America		Telephone 512-370-2870		Fax 214-745-5390	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.					
NAME OF SOLE OR FIRST INVENTOR :		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any]) Richard E.			Family Name or Surname Smalley		
Inventor's Signature					Date
Residence: City Houston		State Texas		Country US	
City Houston					
State Texas					
ZIP 77005					
Country US					
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any]) Daniel T.			Family Name or Surname Colbert		
Inventor's Signature					Date
Residence: City Houston		State Texas		Country US	
City Houston					
State Texas					
ZIP 77098					
Country US					
Mailing Address 1911 Milford Street					
City Houston					
State Texas					
ZIP 77098					
Country US					
<input checked="" type="checkbox"/> Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.					

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 2 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Ken A.		Smith	
Inventor's Signature <i>[Signature]</i>		Date <i>10-9-01</i>	
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Mailing Address 333 Dominion, Apartment 1334			
Mailing Address			
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ZIP	77450	Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Michael		O'Connell	
Inventor's Signature		Date	
Residence: City	Houston	State	Texas
Country	US	Citizenship	US
Mailing Address 2111 Holly Hall, Apartment 2702			
Mailing Address			
City	Houston	State	Texas
ZIP	77054	Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
ZIP		Country	

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Inventor's Signature		Date	
Residence: City	Katy	State	Texas
Country	US	Citizenship	US
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Mailing Address			
City	Katy	State	Texas
ZIP	77450	Country	US
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Given Name (first and middle (if any))		Family Name or Surname	
Michael		O'Connell	
Inventor's Signature		Date 10/9/01	
Residence: City	Pearland Houston	State	Texas
Country	US	Citizenship	US
Mailing Address 2444 Holly Hall, Apartment 2702- 3411 Eaglewood ct.			
Mailing Address			
City	Houston	State	Texas
ZIP	77054	Country	US
Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
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